



MAR 08 2005 14:58

ORNL GEN PATENT COUNSEL

865 574 0381 P.01/02

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Complete and send this form, together with applicable fee(s), to: Mail

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P.O. Box 1450
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INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

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24298 7590 01/05/2005

UT-Battelle, LLC
Office of Intellectual Property
One Bethal Valley Road
4500N, MS-6258
Oak Ridge, TN 37831

03/09/2005 HGBREH2 00000072 131958 10055881

01 FC:1501 1400.00 DA

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I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (703) 746-4000, on the date indicated below.

Karen D. Drew (Depositor's name)
Karen D. Drew (Signature)
March 8, 2005 (Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/055,881	01/28/2002	James W. Lee	0943.0	2063

TITLE OF INVENTION: DNA AND RNA SEQUENCING BY NANOSCALE READING THROUGH PROGRAMMABLE ELECTROPHORESIS AND NANOELECTRODE-GATED TUNNELING AND DIELECTRIC DETECTION

APPLN. TYPE	SMALL ENTITY	ISSUE FEE	PUBLICATION FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1400	\$300	\$1700	04/05/2005

EXAMINER	ART UNIT	CLASS-SUBCLASS
DIAMOND, ALAN D	1753	204-600000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.

2. For printing on the patent front page, list

(1) the names of up to 3 registered patent attorneys or agents OR, alternatively,

(2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1. James M. Spicer

2.

3.

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE UT-Battelle, LLC (B) RESIDENCE: (CITY and STATE OR COUNTRY) Oak Ridge, Tennessee

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☒ Corporation or other private group entity ☐ Government

4a. The following fee(s) are enclosed:

☒ Issue Fee☒ Publication Fee (No small entity discount permitted)☐ Advance Order - # of Copies

4b. Payment of Fee(s):

☐ A check in the amount of the fee(s) is enclosed.☐ Payment by credit card. Form PTO-2038 is attached.☒ The Director is hereby authorized by charge the required fee(s), or credit any overpayment, to Deposit Account Number 13-1958 (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

☒ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27.☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

The Director of the USPTO is requested to apply the Issue Fee and Publication Fee (if any) or to re-apply any previously paid issue fee to the application identified above. NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature

James M. Spicer

Date March 8, 2005

Typed or printed name

James M. Spicer

Registration No. 26,096

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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MAR-08-2005 14:58

ORNL GEN PATENT COUNSEL

865 574 0381 P.02/02

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Lee et al.

Application No. 10/055,881

Examiner:

Diamond, A.

Filed: January 28, 2002

Group Art Unit:

1753


For: DNA and RNA Sequencing by Nanoscale Reading Through Programmable Electrophoresis and Nanoelectrode-Gated Tunneling and Dielectric Detection

ASSERTION OF SMALL ENTITY STATUS

CERTIFICATE UNDER 37 CFR 1.8(a)

I hereby certify that this correspondence is being facsimile transmitted to the USPTO (703) 746-4000 on the date indicated below.

March 8, 2005


Karen D. Drew

Mail Stop Issue Fee
Commissioner for Patents
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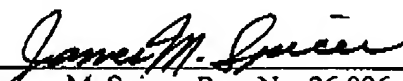
Sir:

Applicants claim Small Entity status under 37 CFR 1.27, for the above-identified application. Accordingly, please charge the issue fee of \$700.00 for a small entity and charge any underpayment or credit any overpayment to Deposit Account No. 13-1958.

Respectfully submitted,

Date: March 8, 2005

Docket No: 0943.0


James M. Spicer, Reg. No. 26,096
UT-Battelle, LLC
Telephone: (865) 574-4180